

Carey, Thomas, Hoover & Breault Investments, Inc. and Thomas P. Hoover

Date of Order: November 3, 2008

Respondents: Carey, Thomas, Hoover & Breault Investments, Inc. and Thomas P. Hoover

ALLEGATIONS: Failure to supervise

ORDER: Respondents Carey, Thomas, Hoover & Breault Investments, Inc. and Thomas P. Hoover entered into a Stipulation for Consent Order with regard to the firm's failure to supervise Hoover and Hoover's failure to supervise a representative of the firm engaged in unethical business practices. On November 3, 2008, the Commissioner entered an order for (1) Respondents to cease and desist from violating the Kansas Uniform Securities Act, (2) restitution in the amount of \$10,000.00, and (3) a fine of \$7,500.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.